

ORDER

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

1800.60B

4/5/00

SUBJ: AIRCRAFT CERTIFICATION SERVICE INTERNAL EVALUATION PROGRAM

1. **PURPOSE.** This order describes the Aircraft Certification Service Internal Evaluation Program.
2. **DISTRIBUTION.** This order is distributed to the branch level in the Washington Headquarters offices of the Aircraft Certification Service; the branch level in the Aircraft Certification Directorate offices; the Brussels Aircraft Certification Staff; all Aircraft Certification Offices and Field Offices; all Manufacturing Inspection District Offices; all Manufacturing Inspection Satellite Offices; and, the Airworthiness Programs Branch, AFS-610.
3. **CANCELLATION.** Order 1800.60A, Aircraft Certification Program Evaluation System, dated September 27, 1990, is canceled.
4. **EFFECTIVE DATE.** To accommodate the directorates' and divisions' need to plan and manage their workload, paragraphs 8C(1) and (2) are effective October 1, 2000. All other provisions are effective as of the date of this order.
5. **EXPLANATION OF CHANGES.**

a. Incorporates changes to the internal evaluation program resulting from the issuance of Order 1800.2G, Evaluations, Appraisals, and Staff Studies, which prescribes Federal Aviation Administration (FAA) policy, assigns responsibilities, and provides requirements regarding the evaluation, appraisal, and study of agency programs and activities.

NOTE: As of November 1999, Order 1800.2G, Evaluations, Appraisals, and Staff Studies, was still active despite the abolishment of the issuing organization, the Office of Business Information and Consultation, ABC-200, and of a centralized evaluation organization within the FAA.

b. Reflects the influence on the internal evaluation program resulting from the Government Performance and Results Act of 1993 [Public Law 103-62] which places increased emphasis on program evaluations for use in establishing or revising an agency's goals and objectives and measuring an agency's performance against them.

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AEU-100; AMA-220-(25 copies);
AFS-610(3 copies)

c. Requires program managers/responsible officials in the Service to develop, where feasible, evaluation criteria for new programs during program development or major revision of existing programs. Answering the following questions will assist in developing these criteria: (1) Why was the program created?, (2) What is the program trying to achieve?, and (3) What are/will be the indicators that the program is achieving its goals? (e.g., what will success for the program look like?) Addressing these program management questions will allow the Service to comply with the intent of the Government Performance and Results Act of 1993, as well as contribute to efforts to continuously improve programs.

d. Establishes, in response to the 1999 International Civil Aviation Organization Safety Oversight Audit, a process to assure action plans from internal evaluations address root causes and that follow-up review is completed.

e. Changes the name of the program to the "Aircraft Certification Service Internal Evaluation Program", to avoid confusion with the Service's external audit program of production approval holders, associate facilities, and delegated facilities.

6. SCOPE. This order applies to the internal review and evaluation of any program within the Aircraft Certification Service, including the Aircraft Certification Directorates and their field organizations; the Service's Washington Headquarters Divisions, and the Brussels Aircraft Certification Staff. For the purposes of this order, a "program" is a set of organized activities conducted in pursuit of established policy objectives. An "evaluation" usually refers to an assessment, through objective measurement and systematic analysis, of the manner and extent to which a program achieves intended objectives, manages resources, or complies with regulatory or legislative requirements. "National evaluation" means the Director or Deputy Director, Aircraft Certification Service requests the evaluation, and it usually involves more than one directorate or division.

7. DESCRIPTION OF THE AIRCRAFT CERTIFICATION SERVICE INTERNAL EVALUATION PROGRAM.

a. Evaluation of Aircraft Certification Service programs is a management responsibility of the Aircraft Certification Management Team (ACMT). The internal evaluation program is essential in developing national policies, guidelines, standards, and procedures for the Aircraft Certification Service, and for determining the effectiveness and quality of the various Service programs in meeting the needs of the agency and its customers. Evaluations provide useful information to management for assessing the adequacy of the internal management controls of the Service (i.e., organization, policies, and procedures), and for meeting the requirements of the Federal Managers' Financial Integrity Act, P.L. 97-255. Evaluations can also promote program standardization through assessing adherence to and the adequacy of national technical and procedural policy or guidance. The internal evaluation program will, where applicable, incorporate the use of quantitative techniques to analyze programs to

identify and measure key areas for continuous improvement. The goal of most evaluations is to provide "useful feedback" to management and others on how a program is functioning that will aid in decision-making, policy formulation, or program performance reporting.

b. Evaluations often have multiple purposes, but generally involve one or more of the following types:

(1) **Effectiveness evaluations.** These evaluations identify and analyze program objectives, measure the extent to which those objectives are being achieved, assess management effectiveness, and identify recommendations to improve program operation and quality, including changes to national policies, procedures, or regulations. The Program Planning and Analysis Branch, AIR-510, will primarily conduct national effectiveness evaluations, with assistance from team members drawn from AIR, and where appropriate, from other agency employees or consultants. To the extent feasible, these evaluations will also attempt to incorporate assessments of how well a given program is meeting the needs of its various internal and external customers.

(2) **Compliance evaluations or internal audits.** This type of evaluation measures the extent to which directorate/division and field offices implement and operate programs in accordance with national policy, procedures, or regulation. The Program Planning and Analysis Branch, AIR-510, or evaluation personnel from one directorate/division with the assistance from other directorates/divisions may conduct national compliance evaluations or audits of a program that includes all directorates/divisions. Evaluation personnel from directorates/divisions (with the assistance of evaluation personnel from other directorates/divisions as appropriate) may conduct compliance evaluations or audits that focus solely on their own directorate/division.

(3) **Special studies.** The AIR management may also request special studies to be conducted by AIR-510, evaluation personnel from directorates/divisions, other agency employees, or consultants.

8. RESPONSIBILITIES. The following are the assigned responsibilities under this program:

a. **Director, Aircraft Certification Service, AIR-1, will:**

(1) Ensure that a system for planning, conducting, and following-up on evaluations exists within the Service.

(2) Designate a focal point to plan, coordinate, and administer the Service's internal evaluation program.

(3) Make the final decisions, as needed, on the selection of national evaluations and the acceptance of action plans resulting from such evaluations.

b. The Program Planning and Analysis Branch, AIR-510, will:

(1) Plan, coordinate, and administer the Aircraft Certification Service Internal Evaluation Program.

(2) Ensure that the internal evaluation program is in agreement with the agency's evaluation order.

(3) Develop an annual aircraft certification internal evaluation plan for national evaluations and coordinate the plan with the ACMT. Develop an annual budget for all travel associated with national internal evaluations.

(4) Ensure that internal evaluations are conducted in a manner that is consistent with the Agency's evaluation order, and minimizes Service resources and the impact on those organizations being evaluated.

(5) Submit final evaluation reports to the Director, Aircraft Certification Service, AIR-1, and the Manager, Planning and Program Management Division, AIR-500. The Manager, Planning and Program Management Division, AIR-500, will send the final report to the manager of the organization(s) evaluated and request needed action plan(s).

(6) After each national internal evaluation, communicate action plans to and obtain acceptance of the action plans from the Director, Aircraft Certification Service, AIR-1, and, where appropriate, the Aircraft Certification Management Team.

(7) Establish and utilize a follow-up system for tracking evaluation findings, root causes, recommendations, and the accomplishment of action items.

(8) Prepare an annual report (more frequently if necessary) for the Aircraft Certification Management Team on the status of national internal evaluations and action plan items.

(9) Provide consulting services and advice to organizations within AIR to aid in evaluation design, development of program performance measures, data collection methodology selection, and data interpretation.

c. Managers of directorates and Washington headquarters divisions will:

(1) Regularly plan and conduct local evaluations, or self-audits of national policy and programs within their organization.

(2) Establish and utilize a follow-up system for tracking evaluation findings, root causes, recommendations, and the accomplishment of action items from all applicable evaluations.

(3) Designate an evaluation point of contact for the directorates/divisions to plan, coordinate, and administer the directorate's/division's internal evaluation program, and share national evaluation information with AIR-510.

(4) Support the internal evaluation program by providing people to serve as team leaders and team members, providing travel funds for local directorate or division evaluations, and responding to evaluation findings, root causes, and recommendations.

(5) Assure that evaluation criteria are developed, where feasible, for new programs and those undergoing major modifications. Developing evaluation criteria will help the Service comply with the intent of the Government Performance and Results Act of 1993, as well as contribute to current efforts to continuously improve programs.

9. CONDUCTING INTERNAL EVALUATIONS.

a. Each internal evaluation requires a certain degree of customization to minimize Service resources and the impact on those organizations being evaluated. Neither this order, nor the agency Order 1800.2G, stipulates exactly how to conduct evaluations. As previously mentioned, evaluations often have multiple purposes, but generally involve one or more of the following types: effectiveness evaluations, compliance evaluations or internal audits, and special studies. To the extent feasible, evaluations should identify root causes for non-compliances to policy, or for important problems affecting the program being evaluated.

b. Substantial resources and information from academic, government, and private organizations exist and are available via the Internet on how to conduct evaluations and audits. The evaluation focal points can share their knowledge and experiences as needed to foster the Service's internal evaluation program.

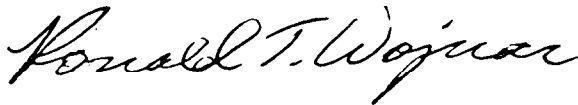
10. INTERNAL EVALUATION FOLLOW-UP.

a. After each national internal evaluation, the AIR-510 evaluation focal point will request, through the AIR-500 Division Manager, that the appropriate Service organization(s) prepare and submit an action plan to the AIR-500 Division Manager that addresses evaluation findings, root causes, and recommendations. The AIR-510 evaluation focal point will forward action plans to the evaluation team that conducted the evaluation for their review (if a team was used). The team will provide its comments back to the focal point within 30 days. The AIR-510 evaluation focal point will then forward the action plans and any comments to obtain acceptance from the Director, Aircraft Certification Service, AIR-1, and, where appropriate, the ACMT. Revisions to submitted action plans may be requested.

b. The AIR-510 evaluation focal point will use a follow-up system for gathering and tracking national evaluation findings, root causes, recommendations, and the accomplishment of action items, and report the information as needed to the ACMT.

c. Directorates and Washington headquarters are expected to establish and utilize a similar follow-up system for local evaluations, or self-audits that they conduct, with action plans reviewed by the Directorate/Division manager.

11. INFORMATION CURRENCY. Any deficiencies found, clarifications needed, or improvements to be suggested regarding the content of this order should be forwarded to the Aircraft Certification Service, Automated Systems Branch, AIR-520, Attention: Directives Management Officer, for consideration. Your assistance is welcome. Federal Aviation Administration Form 1320-9, Directive Feedback Information, is located on the last page of this order for your convenience. If an interpretation is urgently needed, you may call the Program Planning and Analysis Branch, AIR-510, at (202) 267-3027, for guidance, but you should also use the tearout sheet as a follow-up to verbal conversation.



Ronald T. Wojnar
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U.S. Department
of Transportation
**Federal Aviation
Administration**

Directive Feedback Information

Please submit any written comments or recommendations for improving this directive, or suggest new items or subjects to be added to it. Also, if you find an error, please tell us about it.

Subject:

To: Directive Management Officer, AIR-520

(Please check all appropriate line items)

- ☐ An error (procedural or typographical) has been noted in paragraph _____ on page _____.
- ☐ Recommend paragraph _____ on page _____ be changed as follows:
(attach separate sheet if necessary)

- ☐ In a future change to this directive, please include coverage on the following subject
(briefing describe what you want added):

- ☐ Other comments:

- ☐ I would like to discuss the above. Please contact me.

Submitted by: _____ Date: _____

FTS Telephone Number: _____ Routing Symbol: _____

FAA Form 1320-19 (8-89)